



**PATENT APPLICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Yoshihito OWA

Application No.: 10/783,019

Group Art Unit: 2818

Filed: February 23, 2004

Docket No.: 118806

For: NONVOLATILE SEMICONDUCTOR MEMORY DEVICE

**PETITION FOR CORRECTION OF INVENTORSHIP UNDER 37 C.F.R. §1.48(a)**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

Submitted herewith is an Amendment correcting the inventorship of the above-identified patent application. The Amendment deletes Yoshihito OWA, as inventor of the subject matter disclosed and claimed in the present application.

In support of the present petition, attached hereto are the following items:

- (1) a Request in the form of an Amendment to correct the inventorship, which sets forth the desired inventorship change;
- (2) a statement from each person being added as a inventor and from each person being deleted as a inventor that the error in inventorship occurred without deceptive intention on his or her part;
- (3) an Oath or Declaration by the actual inventors;
- (4) the processing fee set forth in 37 C.F.R. §1.17(i); and
- (5) a Written Consent of Assignee to the requested change of inventorship.

Attach is our Check No. 166553 in the amount of \$130 in payment of the Petition Fee under 37 C.F.R. §1.17(i). Please credit or debit Deposit Account No. 15-0461 as necessary to effect entry and consideration of this Petition and the attached documents. Two duplicate copies of this paper are attached hereto.

Should there be any questions regarding this Petition, please contact Applicant's undersigned attorney at the telephone number listed below.

Respectfully submitted,



James A. Oliff  
Registration No. 27,075

Thomas J. Pardini  
Registration No. 30,411

JAO:TJP/mps

Date: May 12, 2005

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

<p><b>DEPOSIT ACCOUNT USE AUTHORIZATION</b> Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
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*FW/B*

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Attn: OIPE

Yoshihito OWA

Application No.: 10/783,019

Docket No.: 118806

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For: NONVOLATILE SEMICONDUCTOR MEMORY DEVICE

**REQUEST FOR CORRECTION OF PALM RECORDS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Attached is a photocopy of the original filing receipt on which errors have been corrected in red. These errors are being brought to the attention of the Patent and Trademark Office so that it may correct its records. A Supplemental Application Data Sheet is attached.

Respectfully submitted,

James A. Oliff  
Registration No. 27,075

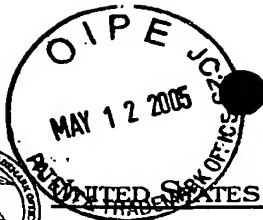
Thomas J. Pardini  
Registration No. 30,411

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RECEIVED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/783,019	02/23/2004	2818	900	118806	25	10	1

CONFIRMATION NO. 7432

UPDATED FILING RECEIPT



\*OC000000013477957\*

25944  
OLIFF & BERRIDGE, PLC  
P.O. BOX 19928  
ALEXANDRIA, VA 22320

AUG 10 2004

Date Mailed: 08/09/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) Yoshihito OWA  
Kimihito Maemura, Suwa-shi, JAPAN;

Assignment For Published Patent Application  
SEIKO EPSON CORPORATION, Tokyo, JAPAN;

Domestic Priority data as claimed by applicant

Foreign Applications 054450  
JAPAN 2003-054449 02/28/2003

If Required, Foreign Filing License Granted: 05/13/2004

Projected Publication Date: 11/18/2004

Non-Publication Request: No

Early Publication Request: No

Title

Nonvolatile semiconductor memory device

Preliminary Class

365

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



# OLIFF & BERRIDGE, PLC

ATTORNEYS AT LAW

## Supplemental Application Data Sheet

### Application Information

Application Type:: Regular  
Subject Matter:: Utility  
CD-ROM or CD-R: None  
Title:: NONVOLATILE SEMICONDUCTOR MEMORY  
DEVICE  
Attorney Docket Number:: 118806  
Suggested Drawing Figure::  
Total Drawing Sheets:: 25  
Small Entity:: No

### Applicant Information

Applicant Authority type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Kimihito Yoshihito  
Family Name:: MAEMURA OWA  
City of Residence:: Suwa-shi  
Country of Residence:: JAPAN

### Correspondence Information

Correspondence Customer Number:: 25944

Foreign Priority Information			
Country::	Application Number::	Filing Date::	Priority Claimed::
JAPAN	2003-54449 2003-054450	2/28/2003	Yes
Assignee Information			
Assignee Name::		SEIKO EPSON CORPORATION	
Street of mailing address::		4-1, Nishi-shinjuku 2-chome, Shinjuku-ku,	
City of mailing address::		Tokyo,	
Country of mailing address::		JAPAN	



**PATENT APPLICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Yoshihito OWA

Application No.: 10/783,019

Group Art Unit: 2818

Filed: February 23, 2004

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Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

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Respectfully submitted,



James A. Oliff  
Registration No. 27,075

Thomas J. Pardini  
Registration No. 30,411

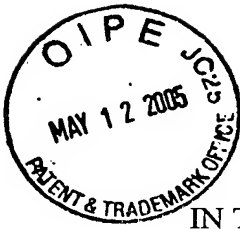
JAO:TJP/mps

Date: May 12, 2005

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

<p><b>DEPOSIT ACCOUNT USE AUTHORIZATION</b> Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
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**PATENT APPLICATION**

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Application No.: 10/783,019

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J0009127 US01

EP-64471US

**PATENT APPLICATION**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Kimihiro MAEMURA

Application No.: 10/783,019

Group Art Unit: 2827

Filed: February 23, 2004

Docket No.: 118806

For: NONVOLATILE SEMICONDUCTOR MEMORY DEVICE

**STATEMENT OF ERRONEOUS IDENTIFIED INVENTORS IN SUPPORT OF  
PETITION FOR CORRECTIONS OF INVENTORSHIP UNDER 37 C.F.R. §1.48(a)**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

We, the undersigned, hereby declare and state:

1. U.S. Patent Application No. 10/783,019, filed on February 23, 2004, identified Kimihiro Maemura, as the single inventor of the subject matter disclosed and claimed in that patent application.

2. The identification of the inventive entity for this application was incorrect, by error and without any deceptive intention. In particular, the correct inventive entity for this application is Yoshihito Owa.

3. The undersigned Kimihiro Maemura thus affirms that I am not the inventor of the subject matter disclosed and claimed in this application. Likewise, the undersigned Yoshihito Owa hereby affirms that I am the inventor of the subject matter disclosed and claimed in this application. This error in identification of inventorship was all made in error and without deceptive intention.

5. All statements made herein of my own knowledge are true, and all statements made on information and belief are believed to be true; and further these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and/or imprisonment under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing therefrom.

Date: April 26, 2005

Kimihiro Maemura  
Kimihiro Maemura

Date: April 26, 2005

Yoshihito Owa  
Yoshihito Owa



# Supplemental Declaration and Power of Attorney for Patent Application

補足特許出願宣言書兼委任状

Japanese Language Declaration

私は、下欄に氏名を記載した発明者として、以下のとおり宣言する：

私の住所、郵便宛先および国籍は、下欄に氏名に続いて記載したとおりであり、下記名称の発明に関し、特許請求の範囲に記載した特許を求める主題の本来の、最初にして唯一の発明者である（一人の氏名のみが下欄に記載されている場合）か、もしくは本来の、最初にして共同の発明者である（複数の氏名が下欄に記載されている場合）と信じ、

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NONVOLATILE SEMICONDUCTOR MEMORY DEVICE

その明細書を

\_\_\_\_\_年\_\_\_\_月\_\_\_\_日に

出願番号第\_\_\_\_\_として提出され、

\_\_\_\_\_年\_\_\_\_月\_\_\_\_日に補正し、

the specification of which

was filed on February 23, 2004 as

Application Serial No. 10/783,019

and was amended on \_\_\_\_\_.

私は、前記のとおり補正した特許請求の範囲を含む前記明細書の内容を検討し、理解したことを陳述する。

私は、連邦施行規則第37章第1条第56項に従い、本願の特許性の有無について重要な情報を開示すべき義務を有することを認める。

私は、米国法第35章第119条に基づく下記の外国特許出願もしくは発明者証出願の外国優先権利益を主張し、さらに優先権の主張に係わる基礎出願の提出日前の提出日を有する外国特許出願もしくは発明者証出願および/もしくは米国仮出願を以下に明記する：

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate listed below and/or any U.S. provisional application(s) listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior foreign and/or provisional applications  
先行外国出願/仮出願

Priority claimed  
優先権の主張

2003-054450 (Number/番号)	Japan (Country/国名)	28 February 2003 (Day/Month/Year Filed/提出年月日)	X (Yes/はい)	<input type="checkbox"/> (No/いいえ)
_____ (Number/番号)	_____ (Country/国名)	_____ (Day/Month/Year Filed/提出年月日)	<input type="checkbox"/> (Yes/はい)	<input type="checkbox"/> (No/いいえ)
_____ (Number/番号)	_____ (Country/国名)	_____ (Day/Month/Year Filed/提出年月日)	<input type="checkbox"/> (Yes/はい)	<input type="checkbox"/> (No/いいえ)
_____ (Number/番号)	_____ (Country/国名)	_____ (Day/Month/Year Filed/提出年月日)	<input type="checkbox"/> (Yes/はい)	<input type="checkbox"/> (No/いいえ)

私は、米国法第 35 章第 120 条に基づく下記の米国特許出願の利益を主張し、本願の特許請求の範囲各項に記載の主題が米国法第 35 章第 112 条の第 1 段落に規定の態様で先の米国出願に開示されていない限度において、先の出願の提出日と本願の国内提出日もしくは P C T 国際出願提出日の間に公表された連邦施行規則第 37 章第 1 条第 56 項に記載の重要な情報を開示すべき義務を有することを認める。

I hereby claim the benefit under Title 35, United States code, §120 of any United States application(s) listed below and, in so far as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112. I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

\_\_\_\_\_  
(Application Serial No./出願番号)

\_\_\_\_\_  
(Filing Date/提出日)

\_\_\_\_\_  
(Status: Patented, Pending, abandoned/  
現状: 特許成立、係属中、放棄済み)

\_\_\_\_\_  
(Application Serial No./出願番号)

\_\_\_\_\_  
(Filing Date/提出日)

\_\_\_\_\_  
(Status: Patented, Pending, abandoned/  
現状: 特許成立、係属中、放棄済み)

私は、ここに自己の知識にもとづいて行った陳述がすべて真実であり、自己の有する情報および信ずるところに従って行った陳述が真実であると信じ、さらに故意に虚偽の陳述等を行った場合、米国法第 18 章第 1001 条により、罰金もしくは禁錮に処せられるか、またはこれらの刑が併科され、またかかる故意による虚偽の陳述が本願ないし本願に対して付与される特許の有効性を損なうことがあることを認識して、以上の陳述を行ったことを宣言する。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true: and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

委任状： 私は発明者として、この出願、かつその全ての継続出願および分割出願を遂行するために、かつ米国特許商標庁において全ての業務を執行するために、記録上の弁護士として、Oliff & Berridge, PLC 顧客番号 25944 と関連した特許執行者をここに任命する。

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the patent practitioners associated with Oliff & Berridge, PLC Customer No. 25944 as attorneys of record to prosecute this application and all continuations and divisions thereof, and to transact all business in the Patent and Trademark Office.

Send Correspondence To/書類送付先:

OLIFF & BERRIDGE, PLC  
CUSTOMER NUMBER 25944  
Telephone: (703) 836-6400

Direct Telephone Calls To (name and telephone number)/直通電話連絡先(名称および電話番号):

Full name of sole or first inventor/単独または第一発明者の氏名 Yoshihito OWA	
Inventor's signature/同発明者の署名 <i>Yoshihito Owa</i>	Date/日付 <i>April 26, 2008</i>
Residence/住所 Hakushu-machi, Yamanashi-ken, Japan	
Citizenship/国籍 Japan	
Post Office Address/郵便宛先 c/o Seiko Epson Corporation 3-5, Owa 3-chome, Suwa-shi, Nagano-ken, 392-8502 Japan	
Full name of second joint inventor (if any)/第二共同発明者の氏名(該当する場合)	
Second inventor's signature/第二発明者の署名	Date/日付
Residence/住所	
Citizenship/国籍	
Post Office Address/郵便宛先	

Supply similar information and signature for third and subsequent joint inventors.

第三又はそれ以降の共同発明者に対しても同様な情報および署名を提供すること。



J0009127US01  
EP-64441US

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Application No.: 10/783,019

Group Art Unit: 2827

Filed: February 23, 2004

Docket No.: 118806

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**CONSENT OF ASSIGNEE TO CHANGE OF INVENTORSHIP**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

The Assignee, Seiko Epson Corporation (by assignment recorded in the U.S. Patent and Trademark Office on July 14, 2004 at Reel 014857, Frame 0184, hereby consents to the change of inventorship identified in the attached documents, namely the change to delete Kimihiro Maemura as the named inventor, and to add Yoshihito Owa as the named inventor of the present application.

The undersigned hereby confirms that he has authority to sign this Consent on behalf of the Assignee.

Date: April 22, 2005

Signature: M. Kamiyanagi

Title: Masataka Kamiyanagi, Director